

U.S. DEPARTMENT OF ENERGY
NEVADA OPERATIONS OFFICE

ORDER

NV O 450.4

Approved: 08-22-00
Review Date: 08-22-02
Expires: 08-22-04

**SAFETY MANAGEMENT SYSTEM
MAINTENANCE**



INITIATED BY:
Assistant Manager for
National Security

SAFETY MANAGEMENT SYSTEM MAINTENANCE

NV O 450.4

8-22-00

1

1. OBJECTIVE. To establish core requirements for maintaining a robust Integrated Safety Management System (ISMS) throughout the DOE Nevada Operations Office (DOE/NV) complex which consists of DOE/NV contractors and various user organizations.
2. CANCELLATION. None.
3. APPLICABILITY.
 - a. The provisions of this NV Order apply to DOE/NV organizational elements.
 - b. DOE/NV contractors (i.e. DOE/NV contractors with the DEAR 970.5204-2 Clause in their contracts) and the Defense Threat Reduction Agency (DTRA) requirements are contained in the Contractor Requirements Document (CRD), Attachment 1. Compliance with the CRD is required to the extent set forth in a DOE/NV contract or other agreements; i.e., DOE/NV Authorization Agreements, Activity Agreements, etc.
4. EXCLUSION. Work performed under a grant from the Department of Energy (DOE) that is not performed on real estate owned or controlled by DOE/NV and any work performed on the Nevada Test Site under a DOE/NV Use Permit.
5. REQUIREMENTS.
 - a. Provide appropriate program and budget execution guidance and direction to DOE/NV contractors, DTRA, and the national laboratories on an annual basis consistent with the DOE Unified Budget Call, concerning safety performance objectives, performance measures, and commitments. Guidance or direction to the national laboratories shall be coordinated through their DOE contracting officials.
 - b. Discuss and negotiate revisions to DOE/NV contractor, DTRA and the national laboratories' ISMS description documents as needed.
 - c. Approve any revised DOE/NV contractor ISMS description documents.
 - d. Conduct self-assessments of DOE/NV's performance in compliance with organizational and departmental ISM requirements.

SAFETY MANAGEMENT SYSTEM MAINTENANCE

NV O 450.4
8-22-00

2

- e. Conduct oversight of the DOE/NV contractors', DTRA, and the national laboratories' ISMS implementation utilizing the continuing core expectations identified in Attachment 2.
- f. Perform a tailored reverification of an ISMS description and implementation utilizing the continuing core expectations identified in Attachment 2, under the following conditions:
 - (1) A change of contractor.
 - (2) A situation in which the assessment results of a DOE EH-2 Safety Management Evaluation identify safety problems, a series of safety problems occur, problems are found in readiness reviews, or other safety indicators call the adequacy of the system or related processes into question.
 - (3) A major change of mission.
 - 4) Establish a DOE/NV Management Steering Panel with an appointed chairman. The chairman shall provide the corporate leadership of Integrated Safety Management (ISM) and ensure the continued priority of safety integration within work conducted under the purview of DOE/NV.

6. RESPONSIBILITIES.

- a. DOE/NV Manager.
 - (1) Issues annual program and budget execution guidance and direction concerning safety performance objectives, performance measures, and commitments to DOE/NV contractors, DTRA, and the national laboratories.
 - (2) Establishes the DOE/NV Management System Steering Panel with an appointed chairman.
- b. Management System Steering Panel.
 - (1) Ensures the maintenance, integration, and continual improvement of the DOE/NV Complex ISMS.

SAFETY MANAGEMENT SYSTEM MAINTENANCE

NV O 450.4

8-22-00

3

- (2) Consolidates, for the Manager, annual program and budget execution guidance and prepare appropriate transmittal correspondence for the Manager concerning safety performance objectives, performance measures, and commitments to the DOE/NV contractor, DTRA, or to the DOE Albuquerque Operations Office (DOE/AL) and the DOE Oakland Operations Office (DOE/OAK) if related to the national laboratories, as appropriate.
- (3) Coordinates review of any revised ISMS description documents and negotiates the resolution of comments with specific DOE/NV contractor, DTRA, or with DOE/AL and DOE/OAK if related to the national laboratories.
- (4) Recommends to the contracting officer approval of any revised ISMS description document submitted by a DOE/NV contractor.
- (5) Identifies self-assessment needs that will evaluate DOE/NV implementation and effectiveness of the DOE/NV Safety Management System.
- (6) Identifies areas of contractor/user oversight that should be emphasized.
- (7) Meets with the DOE/NV contractor, DTRA, and the national laboratories to coordinate any DOE/NV ISMS improvement issues and opportunities.
- c. DOE/NV Assistant Managers. Consolidate division program and budget execution guidance and direction concerning safety performance objectives, performance measures, and commitments for submission to the Management System Steering Panel.
- d. DOE/NV Division Directors.
 - (1) As appropriate, recommend specific program and budget execution guidance and direction for DOE/NV contractors and the national laboratories concerning safety performance objectives, performance measures, and commitments for approval by the Assistant Manager.
 - (2) Provide input to the Management System Steering Panel regarding proposed revisions to ISMS descriptions.

SAFETY MANAGEMENT SYSTEM MAINTENANCE

NV O 450.4
8-22-00

4

- (3) Ensure that staff members appropriately utilize the Attachment 2 criteria for planning and executing ISM related self-assessments and assessments of DOE/NV contractors, DTRA, and the national laboratories.

7. REFERENCES.

- a. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated 10-15-96.
- b. DOE G 450.4-1A, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE, dated 5-27-99.
- c. DOE P 450.5, LINE ENVIRONMENT, SAFETY, AND HEALTH OVERSIGHT, dated 6-26-97.
- d. NV P 450.4B, SAFETY MANAGEMENT SYSTEM POLICY.

8. DEFINITION. None.

9. CONTACT. DOE/NV Deputy Assistant Manager for National Security at (702) 295-0991.



Kathleen A. Carlson
Manager

SAFETY MANAGEMENT SYSTEM MAINTENANCE

**NV O 450.4
8-22-00**

**Attachment 1
Page 1 (and 2)**

CONTRACTOR REQUIREMENTS DOCUMENT

The DOE Nevada Operations Office (DOE/NV) contractors (i.e., DOE/NV contractors with DEAR 970.5204-2 Clause in their contracts) and the Defense Threat Reduction Agency performing work under the purview of DOE/NV shall implement an organizational long-term Integrated Safety Management System (ISMS) maintenance process to include the following:

1. Establish a management process to evaluate organizational-wide feedback for organizational ISMS improvement.
2. On an annual basis, review and update, for DOE/NV approval, their safety performance objectives, performance measures, and commitments consistent with and in response to DOE/NV's program and budget execution guidance and direction.
3. Conduct an annual evaluation of their ISMS. The relevant topics listed in Attachment 2 can be used as a guide in conducting the evaluation.
4. Develop mechanisms to implement these requirements.

SAFETY MANAGEMENT SYSTEM MAINTENANCE

**NV O 450.4
8-22-00**

**Attachment 2
Page 1**

CONTINUING CORE EXPECTATIONS

The following continuing core expectation (CCE) statements are a compendium of relevant topics that can be used to aid in developing an evaluation of the effectiveness of the Integrated Safety Management System (ISMS).

1. CCE-1. The annual updates in response to budget execution process are completed. The DOE Nevada Operations Office (DOE/NV) direction is provided as part of the annual program and budget execution guidance including direction regarding major mission changes. Safety performance objectives, performance measures, and commitments are updated so that they reflect and promote continual improvement and address major mission changes, as required. The ISMS description is updated and submitted for approval as scheduled by the contracting officer.
2. CCE-2. System effectiveness, measured as described in the Integrated Safety Management (ISM) description, is satisfactory. Safety performance objectives, performance measures, and commitments are met or exceeded, and they are revised as appropriate for the next year.
3. CCE-3. Work activities reflect effective implementation of the functions of ISMS. Work is defined. Hazards are identified. Controls are developed and implemented. Work is properly authorized. Work is accomplished within controls. Appropriate worker involvement is a priority.
4. CCE-4. Implementing mechanisms continue to support the principles of ISMS. Promulgated roles and responsibilities are clear. Line management is responsible for safety. Required competence is commensurate with responsibilities and the technical and safety system knowledge of managers and staff continues to improve.
5. CCE-5. Budget processes continue to ensure that priorities are balanced. Budget development and change control processes ensure that safety is balanced with production. Facility procedures ensure that production is balanced with safety.
6. CCE-6. An effective feedback and improvement process, using progressively more demanding criteria, is functioning at each level of the organization from the worker and individual activities through the facilities and the site, including the ISMS

SAFETY MANAGEMENT SYSTEM MAINTENANCE

Attachment 2
Page 2

NV O 450.4
8-22-00

feedback and improvement process used by and within DOE/NV. The expectations of DOE P 450.5 are in place. Issues management is effective so that issues are identified, evaluated, and closed. Issues identified in ISMS verifications and previous ISMS annual update reviews are effectively addressed.

7. CCE-7. List A/List B is reviewed and updated as necessary and at least every 2 years. The process for effecting changes to the standards and requirements identified in the Contract per DEAR List A and List B is being utilized and is effective. Authorization/Activity Agreements and Authorization Basis documentation is maintained current. Changes in agreed upon standards and requirements are included to reflect mission changes. An effective, dynamic process to keep standards and requirements current is apparent.
8. CCE-8. Performance objectives and criteria (POC) guidance for assessments focus the reviews on the adequate implementation of the core functions and the principles of ISM in a manner consistent with the approved ISMS description. ISMS assessments utilize the POCs.
9. CCE-9. Relevant records reflect an improving ISMS. Records include routine DOE/NV and contractor self-assessment reports, independent and focused assessment reports, incident investigations, occurrence reports, Price-Anderson Amendment Act enforcement action reports, and other relevant documentation that provide evidence as to the status of implementation, integration, and effectiveness of the ISMS. Feedback, improvement, and change control of the ISMS description is in place and effective.
10. CCE-10. DOE/NV ISMS procedures and mechanisms are in place to ensure that work is formally and appropriately authorized and performed safely. DOE/NV Line Managers are involved in the review of safety issues and concerns and have an active role in authorizing and approving work and operations.
11. CCE-11. DOE/NV ISMS procedures and mechanisms are in place to ensure that hazards are analyzed, controls are developed, and that feedback and improvement programs are in place and effective. DOE/NV Line Managers are using these processes effectively, consistent with the DOE/NV Functions, Responsibilities, and Authorities Manual requirements.